CID Memo 2-02
7 February 2002

SMALL PASSENGER VESSEL – SAFETY ASSESSMENT PROGRAM

DIRECTIVES AFFECTED: None

PURPOSE/INTENT: This memo promulgates the Small Passenger Vessel (SPV) Safety Assessment Program. The program will serve as a resource management tool to decrease risk in the MSO San Francisco Bay area of responsibility AOR. The intent is to combine inherent vessel characteristics, material condition discrepancies, and crew performance data gathered during annual SPV inspections into a measure used to identify overall vessel safety. Specifically, it establishes a risk assessment system that will:

- identify vessels posing high risk;
- identify vessels posing low risk;
- track trends to identify the causes of high risk, that will help identify solutions to improve safety.

DISCUSSION: The overall safety of small passenger vessel operations is dependent on three factors: the vessel itself, how well the vessel is maintained, and how well the crew can perform its duties. These factors can individually or collectively identify a vessel as high risk. This system will be used to evaluate the "safety rating" of each small passenger vessel within our AOR. The first category, Inherent Risk Factor (IRF), is a measure of the vessel's inherent characteristics: the vessel's age, hull material, passenger capacity, route, etc. The second category, Discrepancy Risk Factor (DRF), is a measure of the vessel's discrepancies and non-compliant systems found during an inspection. The last category, Crew Drill Factor (CDF), will measure the crew's effectiveness at responding to emergency drills. These separate scores are weighted to determine a final composite value called the Vessel Safety Factor (VSF). Each vessel's VSF is then compared to the port average to determine its relative risk.

PROCESS: Prior to an inspection, a risk assessment of the vessel will be completed based on the vessel's hull material, age, passenger carrying capacity, and route using the IRF section of enclosure (1).

Deficiencies noted during the inspection identify the operating condition a vessel's passengers were exposed to prior to the annual inspection. These are assessed a value in the DRF section of enclosure (1).

Crew proficiency and knowledge is assessed in the CDF section of enclosure (2).

DRILLS: Normally, a vessel will be required to get underway to conduct drills during an Inspection for Certification and every other year thereafter. At other annual inspections, the required crew drills may be performed/simulated while the vessel is dockside. This will allow annual crew performance evaluations without significantly increasing workloads on either the vessel or the inspector.

ACTION: Vessels determined to pose a high risk (a VSF greater than one standard deviation above the port average) will be subject to random, unannounced spot examinations in found in enclosure (3). Those vessels that are determined to be low risk (VSF greater than one standard deviation below the port average) may be offered the use of the Streamlined Reinspection Program as described in enclosure (4). The results of the assessment shall be provided to the vessel operator via enclosures (5) or (6) as appropriate.

Encl: (1) Small Passenger Vessel Safety Assessment Form
(2) Fire/Man Overboard Drill Evaluation Checklist
(3) Unannounced Safety Spot Examination Guidance
(4) Reinspection Checklist Program
(5) Sample Letter – High Risk Vessel
(6) Sample Letter – Low Risk Vessel

Small Passenger Vessel Safety Assessment Form

Vessel Name:_____ O.N.:_____

INHERENT RISK FACTOR (IRF)					
Factor	**0**	**1**	**2**	**3**	**Total**
Hull Material	All others	FRP	FRP/non fire retardant	Wood*	
Vessel Age	< 10 yrs	10 – 14 yrs	15 – 19 yrs	> 20 yrs	
Route	All others	Ltd Coastwise	Coastwise	Oceans	
Number of Passengers	< 13	13 - 49	50 - 150	> 151	
Vessel Service	Other	Diving	Balloon/ Parasail	Hi Speed Ferry 30kts or greater	
Overnight Accommodations	No		Yes		
Marine Casualty or Violation during past 12 months	No		Yes		
Includes FRP on plywood/plank not providing structural strength				**IRF =**	

DISCREPANCY RISK FACTOR (DRF)					
Discrepancy	**Number of Discrepancies**	**Missing or Non-functional &/or resulting in operational control****	**Out of date / Improperly stowed**	**Minor Discrepancy**	**Total**
a. Lifesaving					
Primary L/S		1 pt/25%	1 pt/25%	1 pt/25%	
EPIRB		4	2	1	
Ring Buoys		1 pt/25%	2	1	
Rescue Boat/Platform		4	2	1	
First Aid Kit		2	-	.5	
PFDs		1 pt/25%	1 pt/25%	-	
				Sub Total	
b. Fire Fighting					
Fixed systems		4	2	1	
Portable Extinguishers		4	2	1	
Fire pumps		4	-	2	
Fire main		4	-	2	
Hose/Nozzles		2 ea	1	-	
				Sub Total	
c. Navigation Safety					
Radio		2	-	1	
Radar		2	-	1	
Charts		2	1	-	
Pyrotechnic Devices		1 pt/25%	1 pt/25%	-	
GPS/Loran		2	-	1	
NAV Lights		4	-	2	
P/A System/Gen Alarm		2	-	1	
				Sub Total	

Discrepancy	Number of Discrepancies	Missing or Non-functional &/or resulting in operational control**	Out of date / Improperly stowed	Minor Discrepancy	Total
d. Machinery & Electrical					
Fuel system		3	-	1	
Cooling system		2	-	1	
Controls		2	-	1	
Exhaust lagging		2	-	1	
MDE(s)/Generator(s)		2	-	1	
Breakers/boards/wiring		2	-	1	
Emergency lighting		2	-	1	
Steering Gear		2	-	1	
Oily Bilges/Housekeeping		2	-	1	
Bilge Pumps/Alarms		2	-	1	
				Sub Total	
e. Hull					
Water/Weather tight integrity		2	-	1	
Through hulls & sea valves		2	-	1	
Major Structure Member		2	-	1	
Railings		2	-	1	
Emergency escapes		2	-	1	
Vents/Exhausts		2	-	1	
Scuppers/Freeing Ports		2	-	1	
Ground Tackle		2	-	1	
***Note: Operational controls include revocation of COI, Temporary reduction in passenger capacity, or no sail items.*				Sub Total	
				DRF=	

CREW DRILL FACTOR (CDF)

Score	Proficient	Pass	Fail	Total
Fire	0	2	4	
MOB	0	2	4	
			CDF=	

VESSEL SAFETY FACTOR (VSF)

VSF = (IRF*.2)+(DRF*.4)+(CDF*.4)	**VSF=**

FIRE / MAN OVERBOARD DRILL

EVALUATION CHECKLIST

Vessel Name:_____ Date:_____

1. FIRE DRILL

A. 1ST DRILL
Type of Fire:_____
Location:_____

B. 2ND DRILL
Type of Fire:_____
Location:_____

REQUIRED ITEMS	COMPLETED ITEMS 1ST DRILL	2ND DRILL
a. Sound alarm		
b. Shut off fuel to fire		
c. Cut off electrical power supplying affected compartment		
d. Cut off air supply to fire		
e. Set fire boundaries		
f. Use portable extinguisher (if safe to do so) or fire hose		
g. Communications between involved parties		
h. Maneuver vessel to minimize effects of wind on fire		
i. Notification of other vessels in vicinity and the Coast Guard		
j. Control of passengers		
EXTRA ITEMS		
a. Handling of personnel casualty		
FIRE DRILL RESULTS (circle one) PROFICIENT PASS FAIL		

Notes:

2. MAN OVERBOARD DRILL

REQUIRED ITEMS	COMPLETED ITEMS 1ST DRILL	2ND DRILL
a. Sound alarm		
b. Throw a ring buoy to the person in the water		
c. Post a lookout to keep the person in sight until Master dismisses		
d. Notify other vessels in vicinity and the Coast Guard		
e. Launch rescue boat or maneuver the vessel for pickup		
f. Crew member dons life jacket, safety line		
g. Proper emergency equipment provided		
h. Retrieval of person in the water and rescue boat		
EXTRA ITEMS		
a. Handling of personnel casualty		
MAN OVERBOARD RESULTS (circle one) PROFICIENT PASS FAIL		

Notes:

Unannounced Safety Spot Examination Guidance

1. Identifying High Risk Vessels: Small Passenger Vessels (SPV) shall be assigned a safety rating using Enclosure (1). The Assistant Chief, Inspections Department (ACID), shall maintain the average safety-rating database for all SPVs within MSO San Francisco Bay's Inspection Zone.

2. Use of Data: In addition to tracking fleet safety trends, vessel's assigned safety ratings shall be divided into one of four categories (i.e., high risk, low risk, slightly better than port average and slightly worse than port average). Those vessels determined to pose the highest risk (VSF greater than one standard deviation above the port average) will be subjected to random, unannounced safety spot examinations. The vessel will remain in the program until another annual safety assessment is conducted showing an improved score, which removes the vessel from this high-risk category.

3. Unannounced Safety Spot Examination Program Objectives: The objective of this program is to meet the following goals:

    a. Focus inspector resources on those vessels determined to have the highest risk to passenger and crew safety.
    b. Provide increased regulatory presence over high-risk vessels between annual inspections, thereby increasing passenger and crew safety.
    c. Provide incentive to high-risk vessels to improve their risk rating and be removed from the Unannounced Safety Spot Examination Program.
    d. Reward responsible operators of low-risk vessels with reduced scope of inspections by forwarding Enclosure (4) to the operator prior to an annual inspection, and recommendation to the 5-Stars for Safety Program as appropriate.

4. Unannounced Safety Spot Examination Frequency: The ACID will maintain a list of those vessels assigned the highest risk rating and enrolled in the unannounced spot check program. These high-risk vessels should receive at a minimum, at least two unannounced spot examinations between the regular Coast Guard required annual inspections. At the Chief, Inspection Department's discretion, the spot check time and location should not interfere with the vessel's passenger operations. The marine inspector shall document each safety spot examination completed on high-risk vessels.

5. Scope of Unannounced Safety Spot Examination: The scope of the safety spot examination of high risk vessels shall include a general walk through of the vessel and a spot check of systems where the vessel was previously deficient (material deficiencies or drill proficiency). Additionally, the scope of the safety spot examination may be expanded to include areas or systems that an inspector has established clear grounds to be deficient. In general, these safety spot examinations are designed to ensure regulatory compliance, a Coast Guard presence between annual inspections, and to reduce vessel risk.

RE-INSPECTION CHECKLIST

VESSEL: _____ OFFICIAL NO._____

INSTRUCTIONS: This checklist shall be completed by a licensed Master who is very familiar with the vessel and in a position of responsibility. Indicate the satisfactory inspection of each **applicable** item by **dating and initialing** the corresponding blank and filling in information where indicated. Any deficiencies or corrective actions taken shall be addressed in the space provided at the end of each section. Regulation cites have been provided for areas that may require more explanation.

Always be aware that the majority of marine casualties are caused by human factors (human error).

References	Vessel
Subchapter T (46 CFR 175-185; except as otherwise noted)	less than 100 gross tons less than or equal to 200 feet carries ≤ 150 passengers or overnight accommodations for ≤ 49 passengers
Subchapter K (46 CFR 114-122; except as otherwise noted)	less than 100 gross tons less than or equal to 200 feet carries 151-600 passengers or overnight accommodations for 50-150 passengers
Subchapter K' (See note below)	less than 100 gross tons greater than 200 feet carries greater than or equal to 601 passengers or overnight accommodations for ≥ 151 passengers

Note: *Vessels subject to subchapter K' are required to comply with Parts 72 and 76 of subchapter H, Parts 114, 115, 117, 121, and 122 of subchapter K, and the applicable requirements of subchapters F and J.*

I. DOCUMENTATION/LOGS/PUBLICATIONS

A. Documents/Chemical Testing

_____ Ensure all applicable certificates/documentation outlined below are checked and available for immediate review by the attending marine inspector.

_____ Ensure all elements of a random drug testing program including **Random, Pre-employment**, and **Reasonable Cause** testing documentation, **Employee Assistance Program (EAP)**, and **Supervisor Training** are in accordance with 46 CFR Part 16. Have complete chemical testing program including test results on hand for inspection. **Complete the attached audit form and submit to the attending CG inspector**. (46 CFR Part 16)

_____ Review the vessel's **Certificate of Inspection (COI)**. Ensure the COI is posted under glass or transparent material, as practicable, or otherwise on board (46 CFR 176.01-40). Has the vessel been operating within the limits of its certificate? Does the actual owner/operator name and address match what is printed on the COI?

(Note: The COI must <u>not</u> be laminated, as it will need to be endorsed at the satisfactory completion of the re-inspection.)

_____ Check the vessel's **Certificate of Documentation** or **State Certificate of Registration**. Ensure it is correct and valid for the type of service the vessel is engaged in and ensure the owner/operator names and addresses match that listed on the COI. The original document must be kept on board the vessel. The annual renewal sticker must be up-to-date. The Certificate of Inspection is not valid without this documentation. (46 CFR 67.161)

Certificate of Documentation Expiration Date: _____

State Certificate of Registration Expiration Date: _____

_____ Check the vessel's **Stability Letter** - Is it posted under glass with all pages visible? Has the vessel been operated within the terms specified in this letter? Does the date of the stability letter match the date specified on the COI? (46 CFR 170.120)

Date and Port Issued: _____

Exposed, Partially Protected, or Protected waters (circle applicable)
Maximum number of passengers: _____
Maximum number of passengers on upper deck: _____

_____ Check the vessel's operators to ensure that each has a valid and original **USCG Operator's License** on board. Each operator's license should be endorsed for the vessel's route, be of sufficient tonnage, of the correct type, and must not be expired (expiration is 5 years after issue date). (46 CFR 185.10-1)

Operator: _____ Tonnage: ___ Propulsion: ____ Route: ____ Exp Date: ___

Operator: _____ Tonnage: ___ Propulsion: ____ Route: ____ Exp Date: ___

Operator: _____ Tonnage: ___ Propulsion: ____ Route: ____ Exp Date: ___

_____ If the vessel has a VHF-FM radio, check that at least one of the vessel's operators has a valid **FCC Marine Radio Operator Permit** (46 CFR 184.25-1).

Name(s): _____
Expiration Date(s): _____

_____ Does the **vessel** have a current **FCC Station License** (46 CFR 184.25-1) (valid for 5 years)? Are all **transmitters** such as radios, radars, EPIRBs, etc., presently installed on the vessel listed on the Station License? Does the vessel's call sign match the call sign printed on the COI?

Expiration Date: _____

_____ Ensure **FCC Safety Radio Certificate** is on board (46 CFR 184.25-1).

Expiration Date: _____

Deficiencies/corrective actions for section I-A

_____

_____

_____

_____

B. Plans, Lists, other Documentation

_____ Is the written **Waste Management Plan** (vessels 40 feet or more operating beyond 3 miles from shore) being maintained? (33 CFR 151)

_____ Is the **Garbage Log** being maintained? (33 CFR 151)

_____ Are **Emergency Check off Lists** posted where visible to passengers and crew? (46 CFR 185.510; 122.510 K vessels)

_____ Is a **Crew and Passenger List** maintained? This is required for a vessel making an Oceans or Coastwise voyage where (1) passengers are carried overnight or (2) if passengers are embarked/disembarked to another vessel or port. (46 CFR 185.502; 122.502 K vessels)

_____ Is a **Passenger Count** being conducted? Except for a vessel required to have a **Crew and Passenger List** described above, the master shall keep a correct, written account of all passengers that embark/disembark. (46 CFR 185.504; 122.504 K vessels).

_____ Are **Voyage Plans** maintained? This is required: if vessel has Ocean or Coastwise routes; if the vessel has overnight accommodations, making an overnight voyage. (46 CFR 185.503; 122.503 K vessels)

_____ Are **Passenger Safety Orientations** being conducted prior to getting underway? (46 CFR 185.506; 122.506 K vessels)

_____ Is a **Station Bill** posted? This is required for vessels more that 65 feet with a COI requiring 4 crew members at any time, including the master. (46 CFR 185.514; 122.515 K vessels)

_____ Passenger Safety Bill? (46 CFR 122.515; K vessels only)

_____ Are **Maintenance Instructions for Survival Craft (life floats, buoyant apparatus, inflatable life rafts, inflatable buoyant apparatus)** on board the vessel? Required for survival craft manufactured on or after March 11, 1996. The inspection and maintenance must be logged (46 CFR 185.702; 122.702 K vessels)

_____ Are **Weekly Maintenance and Inspections** conducted and logged? Each survival craft must be inspected to ensure its readiness for use. (46 CFR 185.720; 122.720 K vessels)

_____ Are **Monthly Inspections** being conducted and logged? Each survival craft must be inspected monthly using the manufacturer's instructions to ensure it is complete and in good order. (46 CFR 185.722; 122.722 K vessels)

_____ Are **Quarterly Exams of the Winch Control Apparatus** for a launching appliance being conducted and logged? Each winch control apparatus, including motor controllers, emergency switches, and limit switches, must be examined every 3 months. (46 CFR 185.724; 122.724 K vessels)

_____ Are **Annual Inspections** being conducted and logged? Each item of lifesaving equipment with an expiration date (such as a battery) that has expired must be replaced. Batteries without stamped expiration dates must be replaced during the annual inspection. (46 CFR 185.726; 122.726 K vessels)

_____ Are **EPIRB Monthly Tests and Servicing** being performed in accordance with the manufacturer's instructions? The EPIRB battery must be replaced after the EPIRB is used or before the expiration date. The EPIRB test shall be logged. (46 CFR 185.728; 122.728 K vessels)

Deficiencies/Corrective Actions for section I-B:

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_____

C. Lifesaving/Emergency Drills Documentation

_____ Is **Crew Training** for emergency drills conducted quarterly and logged? (46 CFR 185.420; 122.420 K vessels)

_____ Are **Abandon Ship and Man Overboard Drills and Training** conducted and logged? (46 CFR 185.520; 122.520 K vessels)

_____ Are **Fire Fighting Drills and Training** conducted and logged? (46 CFR 185.524; 122.524 K vessels)

Deficiencies/Corrective Actions for section I-C:

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_____

II. NAVIGATION EQUIPMENT/LIGHTS, NAVIGATION RULES, COMMUNICATIONS, CHARTS AND NAUTICAL PUBLICATIONS:

_____ Check the **magnetic compass** for proper compensation and operation. Check that compass light is operational (46 CFR 184.402; 121.402 K vessels).

_____ If applicable (required), check the vessel's **radar, electronic positioning fixing device (GPS, etc.)**, **fathometer, etc.** for proper operation. Be prepared to demonstrate the proper operation of this equipment to the marine inspector.

_____ List all bridge electronics and date tested:

Type Equipment	Date Tested
_____	_____
_____	_____
_____	_____

_____ Check the condition and proper operation of all **navigation lights**.

_____ Check **VHF** and **SSB radios** (SSB required for greater than 20 mile routes) for proper operation. The inspector may ask you to make one or more calls on each radio using proper radiotelephone procedure.

_____ Is an **Emergency Broadcast Placard** posted? A durable placard must be posted next to all radiotelephone installations with the emergency broadcast instructions and information specific to the vessel. (46 CFR 184.506; 121.506 K vessels)

_____ Check for proper operation of general alarm systems. (46 CFR 183.550;120.550 for K vessels)

_____ Check for proper operation the vessel's public address system. (46 CFR 184.610; 121.610 K vessels)

_____ Does the vessel's **whistle** produce an "efficient sound signal" as required by COLREGS 72?

_____ Check for proper sized bell as required by COLREGS 72.

_____ **Charts and Nautical Publications:** As appropriate for the intended voyage, all vessels must carry **adequate and up-to-date:**

- _____ **Navigation Rules**
- _____ **Charts**
- _____ **Coast Pilots**
- _____ **Light Lists**
- _____ **Local Notices to Mariners**
- _____ **Tide Tables**

Deficiencies/corrective actions for section II:

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_____

III. LIFESAVING/LIFESAVING RELATED PLACARDS/MARKINGS:

_____ Use 46 CFR Parts 184 and 185 for guidance except as noted otherwise.

_____ Ensure approved **First Aid Kit** is on board (46 CFR 184.710).

_____ Ensure that each **life preserver** (PFD) is clean and is **Type I; CG approved**. All snaps, straps, hooks and fittings must be serviceable. Cloth coverings must not be torn or rotten. Test all snaps. Check PFD straps for dry rot. Each PFD on vessels operating greater than 20 miles from shore must have an a USCG approved **PFD light** properly attached and in good working order.

_____ Be certain that the number of PFDs on the vessel corresponds to or exceeds the total number of passengers and crew specified on the certificate of Inspection. **Work vests** are never counted as life preservers. If carried, they must be in good condition and stowed separately.

_____ Is the proper **Retro-reflective Tape** attached to the life jackets, buoyant apparatus, life floats and rescue boats? Each life jacket must have Type I retro-reflective material (31 square inches front and back). Each life float, buoyant apparatus and rescue boat must have retro-reflective material. (46 CFR 185.604)

_____ **Life Preservers**

Number Adult: _____ Number Child: _____

Buoyant Apparatus/Life Floats/Inflatable Liferafts

_____ Check each **lifefloat** and **buoyant apparatus** for good overall condition and in a float free arrangement. Check for rotted lines or beckets. Check for proper nameplate and markings. Check for a **painter 100 feet long** with a properly rated weak link properly attached to the vessel. One painter may be used to attach up to 3 life floats to the vessel with one **float-free link**. Check that **paddles** (two 4-foot paddles required for lifefloats only) are in good condition, properly marked and attached to the lifefloat. Check all **grab lines** to see that they are held by **lashings of light thread** or masking tape. Be certain that any **line dispensing appliance** used to store the painter is properly positioned and will operate under emergency conditions. Lifesaving apparatuses may be covered for protection against the elements, but the cover must not be lashed so as to prevent the apparatus from floating free.

_____ Check lifefloats and buoyant apparatus for properly rigged **float-free links** with valid **approval tags** in place. (46 CFR 180.137; 117.137 K vessels)

_____ Is an operational waterlight attached to **each** lifefloat and buoyant apparatus with an 18 feet in length lanyard?

Number on board: _____ Number persons capacity: _____

_____ Inspect **inflatable liferafts** for proper installation and current servicing in accordance with the manufacturer's instructions. Ensure each raft has received its **annual inspection** at a USCG approved service facility. Have all servicing documentation available for inspection. (46 CFR 180.130; 117.130 K vessels)

_____ Check all **hydrostatic releases** for proper installation and up-to-date inspection tags. Inspection and tagging of this device is required annually. (46 CFR 185.740; 122.740 K vessels) Note: Disposable hydrostatic releases may be used and do not require annual servicing; they have a two year expiration.

Ring Life Buoys and Water Lights

_____ One life ring must have 60 feet of line attached to it. Floating lines should be black and sunlight resistant.

_____ Vessels over 65 feet in length must have 3 **ring buoys**.

_____ Is an operational **waterlight** attached to **one** of the life rings with a 3-6 feet in length lanyard?

Number ring buoys: _____ With lights: _____ 60 FT life line: _____
Marked w/ vessel name: _____ Retro Tape: _____

Distress Signals/Flares/EPIRBS

_____ For ocean/coastwise routes, be sure there are 6 red flares and 6 orange smoke (3 and 3 for Lakes, Bays, Sounds Routes). They must be approved for the service intended (i.e., the correct type). Check all flares to be sure they are not outdated and within 42 months of the date of manufacture stamped on the flare. Substitutions are permitted. (46 CFR 180.68; 117.68 K vessels)

Flare expiration date(s): _____ Smoke expiration date(s): _____

_____ Are **Portable Watertight Containers** used for distress flares and smoke signals? Containers shall be of a bright color and clearly marked in letters at least .5 inches high: "DISTRESS SIGNALS." (46 CFR 185.614)

_____ The **EPIRB** must be installed in a float free position and stenciled with the vessel's name. A Category 1, 406 MHz EPIRB is required effective March 11, 1997 for vessels operating more than 3 miles from shore. (46 CFR 180.64; 117.64 K vessels)
Battery exp. date: _____ Hydrostatic Release Expiration Date: _____

Lifesaving Placards/Markings

_____ Are **Life Jacket Placards** posted? Placards containing instructions for the donning of life jackets must be posted in conspicuous places that are regularly accessible and visible to the crew and passengers. (46 CFR 185.516; 122.516 K vessels)

_____ Are **Inflatable Survival Craft Placards** posted? (46 CFR 185.518; 122.518 K vessels)

_____ Are proper **Lifesaving Equipment Markings** in place? The name of the vessel must be marked or painted on each side of the bow of each rescue boat and on each life float and buoyant apparatus. The name of the vessel must be on each life jacket, ring life buoy, and EPIRB. Rescue boats, life floats, and buoyant apparatus must have the number of person's capacity. Each paddle of a life float(s) must also be marked with the vessel's name. (46 CFR 185.604; 122.604 K vessels)

_____ Are **Life Jacket Stowage Areas** properly labeled? The number and identification (adult or child) of the jackets stowed must be labeled in 2-inch letters. (46 CFR 185.604; 122.604 K vessels)

_____ Are **Escape Hatches and Emergency Exits** properly marked? Must be marked on both sides in clearly legible letters at least 2 inches high: "EMERGENCY EXIT, KEEP CLEAR." This is required unless deemed unnecessary by the OCMI. (46 CFR 185.606; 122.606 K vessels)

_____ Are **Watertight Doors and Watertight Hatches** properly marked? Doors and hatches must be marked on both sides in clearly legible letters at least 1 inch high: "WATERTIGHT DOOR - KEEP CLOSED" or "WATERTIGHT HATCH - KEEP CLOSED." This is required unless deemed unnecessary by the OCMI. (46 CFR 185.610; 122.610 K vessels)

Deficiencies/corrective actions for section III:

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_____

IV. FIRE PROTECTION

_____ Use 46 CFR Part 181 for guidance except as noted otherwise.

_____ Firefighting equipment must be "suitable for marine use" if not required to be USCG approved. Items without tags, nameplates or other markings indicating suitable approvals may be have to be replaced even if still serviceable.

_____ Ensure all equipment is operable or has been properly serviced within the last 12 months and hydrostatically tested within the required time interval.

_____ Test the hand operated portable **fire/bilge pump** with a minimum capacity of at least 5 gallons per minute. Ensure that all hoses are of sufficient length to draw water from over the side and fight a fire at any location or compartment.

_____ Test the power driven **fire pump** if installed for proper operation. Check the pump and foundation, associated piping for leaks, corrosion, properly secured, properly mounted, loose bolts, etc. For vessels 65 feet or less with more than 49 passengers (vessels built or certificated before 12MAR96), this pump may also be connected to the bilge system so that it may serve as either a fire pump or a bilge pump. For vessels over 65 feet in length a pressure gauge must be installed at the power fire pump to measure outlet pressure, and the fire pump must be able to pump 50 gallons per minute at a pressure of 60 psi.

_____ Check all **fire hoses** under maximum pressure. Replace all defective hoses or fittings. A suitable rack to hold the fire hose must be installed at each fire station. Vessels less than 65 ft. (certificated before 12MAR96) that are required a fire pump may have either an approved 1 1/2" commercial fire hose or a minimum 5/8"good commercial grade garden hose.

Number of hoses: _____ Date tested: _____

_____ Check the fire hose **nozzle**. For a 1 1/2" commercial fire hose the nozzle must be USCG approved. If a good commercial grade garden hose is used the nozzle must be metallic and not plastic (vessels built or certificated before 12MAR96).

_____ The nozzles must be **attached** to the fire hoses. The fire hoses must be attached to the hydrants at all times.

_____ Vessels with no power driven fire pump and certificated on or after 11 March 1996 must have three 2 1/2 gallon **fire buckets** with attached lanyards. Fire buckets must be labeled and stored where easily accessible.

_____ **Fixed fire extinguishing system** - A qualified individual must inspect and test the fixed fire extinguishing system.

_____ Ensure there is a method of **effectively** closing off all forced and natural ventilation to the engine room in case of fire. This includes shutting off blowers and closing all openings.

_____ If installed, **test** all automatic engine shutdowns, ventilation blower shutdowns, time delays and alarms.

_____ Vessels carrying more than 149 passengers must meet and maintain **structural fire protection** standards such as: insulation, fire screen doors, ventilation dampers, and fire loads.

_____ Check all **fixed fire extinguishers** for rusty or pitted cylinders (especially on the bottom). Check to see that cylinders are mounted and not touching the deck. Check date stamped on cylinder shoulder to see if hydrostatic testing is required (i.e., at 5 year intervals). Weigh to determine if the unit is fully charged.

_____ Fixed fire extinguishing system: **Date serviced:** _____

_____ Cylinder hydrostatic **test date(s):** _____ _____ _____

_____ **Hand portable fire extinguishers** - must be examined and tagged annually by a certified vendor.

_____ Date **certified by vendor:** _____

_____ Crew inspections must be conducted monthly in accordance with the National Fire Protection Agency standard 10 "Portable Fire Extinguishers." Inspect for: Correct **number and size** of required portable extinguishers located in designated spaces free from obstruction; approved types: **B:C, Size I, or II** with USCG approval number; **seals and tamper indicators** not broken or missing; look for obvious **physical damage**, corrosion, leaks or clogged discharge nozzle; **weigh cylinder** and verify weight matches the weight listed on the label (must be recharged if weight loss of charge exceeds 10%); verify that the **pressure gauge** (except CO2 extinguishers) is in the operable range; and verify that operating instructions on nameplate are legible and facing outward.

_____ Date **last inspected by crew:** _____

_____ Each fire extinguisher must have a suitable **mounting bracket** to ensure that the extinguisher is held properly. Ensure the bracket is approved as a unit with the extinguisher

_____ If the vessel is over 65 feet, check that a suitable **fire axe** labeled with vessel's name is on board adjacent to pilot house.

Deficiencies/corrective actions for section IV:

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V. MACHINERY OPERATION:

_____ Use 46 CFR Part 182, except as noted otherwise for guidance in machinery installation and inspections.

_____ Are main propulsion and auxiliary machinery being routinely maintained in accordance with manufacturer instructions? **Describe last maintenance:**

_____

_____

_____

_____ Test propulsion engine shutdown at operating station. Required for all vessels. (46 CFR 184.620)

_____ Test the two independent means of propulsion engine control for single screw vessels. Means of control required: speed, direction of shaft rotation, and shutdown. (46 CFR 184.620)

_____ Examine the **main engine(s)** and **generator(s)** for proper operation while engines are operating at normal load. Check and correct any leaks (fuel, oil, water, exhaust), vibration, or unusual noise. Check engine foundations for sound condition and proper tightness.

_____ Check the marine gear(s) for proper operation ahead, neutral and astern. Examine propulsion shafting packing glands for excessive leakage, correct as needed.

_____ Examine and check proper operation of all engine and marine gear controls and linkages from the operating station to the engine/marine gear connection.

_____ Examine all flex hoses to ensure they are of the approved type, and are in good serviceable condition. Are flex hoses being changed at manufacturer recommended intervals? Is all piping and flex hoses properly supported, protected against vibration and not chafed?

_____ Ensure flame shields and fire sleeves are properly installed (as required) on all fuel, oil and hydraulic pipe connections and flex hoses.

_____ Examine engine exhaust system for leaks with engines operating. Check for proper installation and condition of piping, mufflers and supports. Ensure the piping is properly insulated (lagged) with no hot surfaces exposed. All exhaust flex hoses shall have double corrosion resistant clamps at each connection.

_____ Check turbochargers and dry exhaust manifolds for **insulating blankets** or similar devices to prevent fires from heat radiated from these surfaces.

_____ Examine the condition of engine starting systems (electric, hydraulic, pneumatic) and check for proper operation.

_____ Test (repair if necessary) all required **safety devices** (overspeed trips, low oil pressure, high water temperature) on main engines and generators.

_____ Examine condition (make permanent repairs as needed) of sea chests, through hull fittings, sea water strainers and sea valves. All sea valves shall be exercised. All seawater flex hoses shall have double corrosion resistant clamps at each connection.

_____ Inspect all **valve handles**. Replace broken handles and hand wheels. All should be properly tagged or identified.

_____ Inspect all **gauges** (oil pressure, water temperature) and **tachometers** in the engine room and the pilothouse for proper operation and calibration.

_____ Ensure protective guards and rails are installed around rotating shafts, pulleys and sprockets.

_____ Examine condition of the **steering system**, main & auxiliary. Check for proper operation, hard-over port to hard-over stbd. All linkages shall be double nutted, cotter pinned or have nylock nuts. Examine the condition of the rudderstock, bearings, packing glands and rudder angle indicator.

Type of steering (i.e., hand-hydraulic): _____

_____ Examine supply and exhaust ventilation ducts and blowers of machinery spaces. Ducts shall be rigid, fire proof and gas tight from end to end. One supply/one exhaust for diesel machinery. Two supply/two power exhaust for gasoline machinery. Must have a blower interlock switch for gasoline machinery.

_____ Check for **protective screens** on all fans and blowers.

_____ Ensure the machinery space boundaries are vapor tight from the accommodations areas.

_____ Examine condition of the fixed (hand/power) bilge system (pumps, piping, valves and strainers). Check for proper operation by taking suction from each watertight space. Vessels with more than 49 passengers must have a power pump (25 GPM>Gallons Per Minute) with 1" metallic piping. Vessels more than 65' must have two power pumps (50 GPM) with 1" metallic piping.

_____ Examine and operate the collision bulkhead bilge suction cut off valve (if installed).

_____ Examine condition of the hand portable bilge/fire pump. Check for proper operation by drawing suction from the sea. Ensure adequate length suction and discharge hoses are installed. The suction hose shall be fitted with a strainer.

_____ Examine ballast system (pumps, piping, valves and tanks) and check for proper operation.

_____ Examine **air receivers** and **relief valves.** Ensure the relief valves are of the proper size and setting. Note: Air receivers are subject to CG internal exam or 1.25 X maximum allowable working pressure (MAWP) hydro test triennially.

Last date of air receiver examined/tested: _____
MAWP of air receiver: _____ Relief valve set: _____ PSI

_____ The **hot water heater** must be equipped with an operating safety valve of the proper size and setting.

_____ The potable water system (including storage tank) must be completely independent and must not be connected to any other system.

Deficiencies/corrective actions for section V:

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VI. FUEL and POLLUTION:

_____ Fuel system: examine condition of tanks, piping, flex hoses, heat deflectors, fuel filters and strainers. Check all bulkhead and deck penetrations. (46 CFR 182.435-458)
Check which applies: Gasoline _____ Diesel _____

_____ Ensure fuel lines and hoses meet the requirements of 46 CFR 182.455. If flexible hose is used it must meet the requirements of 46 CFR 182.720(e).

_____ Inspect and test all **emergency fuel shutoffs**. Ensure the handle or hand wheel, reach rod, linkage and valve work. Valve must be located at tank connection and be operable from outside the tank space. A shutoff valve must also be in place at the engine for servicing. (46 CFR 182.455(b)(4))

_____ Are Remote Fuel Shutoff valves properly marked? Must be marked in clearly legible letters at least 1 inch high indicating purpose of the valve and direction of operation. (46 CFR 185.608)

_____ Check to see that the fuel tank vent **flame safety screens** (30x30 metallic, corrosion resistant mesh - not insect screen) are correctly installed (must be removable) on **all fuel and sewage vents.** (46 CFR 182.450 (e))

_____ Check ventilation of fuel tank spaces. Fuel tank spaces of less than 500 cu. ft. require a 1" goose neck; larger spaces require a 2" gooseneck. (46 CFR 182.470)

_____ Ensure boundaries between fuel tank space and accommodations spaces are vapor tight. (46 CFR 177.405(c)).

_____ If a flexible hose fill pipe section is used, it must overlap metallic pipe ends at least 1 times the pipe diameter and must be secured at each end by double clamps and bonded. Inspect the grounding wire connecting the fuel fill pipe and the fuel tank. Be sure that grounding wires or equivalents are available for ship-shore connections during fueling. (46 CFR 182.445(g))

_____ Inspect fuel lines for leaks and for proper flexible connections to prevent fuel line damage by vibration. Ensure double clamps are installed. (46 CFR 455)

_____ Check for fuel containment devices (i.e., buckets etc.) under fuel tank (overflow) vents.

_____ Post oil discharge pollution prevention placards required by 33 CFR 155.450 near overboard discharges and/or bilge pump controls.

_____ Clean all traces of oil and fuel from the bilge. Do not pump it overboard. No intentional discharge of oil into the bilge is allowed. (33 CFR 155.770)

_____ Are MARPOL V Pollution Placards posted and visible to crew and passengers?

_____ Ensure proper installation and operation of Marine Sanitation Device (MSD). (33 CFR 159)

Check which applies: Type I_____ Type II_____ Type III_____

_____ Check sewage system for proper operation and sign indicating no discharge within 3 miles of shore.

_____ Ensure there is a means to lock sewage overboard discharge.

Deficiencies/corrective actions for section VI:

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VII. ELECTRICAL SYSTEM, ELECTRIC APPLIANCES, AND ELECTRONICS:
(Note: It may be advisable to have an electrician check your vessel before the Coast Guard inspection. All electrical equipment, including alarms, must operate properly.)

_____ Use **46 CFR Part 183** and **46 CFR 111-113** for specific guidance in electrical installations.

_____ Check all **generators** and their parallel operation, or interlock between ship's service generators and/or shore power, reverse power relay, wiring, junction boxes, meters (voltage, amperage, and hertz), foundations, ground detection, pulleys, drive belts, and guards.

_____ Check all **motors**, wiring, plug connections, junction boxes, foundations, pulleys, drive belts, and guards.

_____ Check all **electrical wiring**. Ensure no "dead end" wires or splices outside of junction boxes. Splices and taps must be made in junction boxes. Check for proper support with metallic bands no less than 24" apart, bulkhead/deck penetrations are watertight; no chafing. Check all electrical wiring for proper grounding; no "jury rigs." Wire nuts are not authorized.

_____ Check the **emergency lighting system** for proper operation, including the below deck automatic lighting that is activated in case of power failure.

_____ Inspect all **lights** and **switches** for proper operation. All light fixtures should have proper guards and globes.

_____ Inspect all **telephones**, **general alarms**, and **public address systems** (if installed) for proper operation. Check all **engine alarm**, **fire alarm** and **high water level bilge alarm systems** for complete and correct operation.

_____ Insulate **antenna connections**.

_____ Check **overload/overcurrent protection** for proper size and installation (fuses, circuit breakers, disconnect switches and wire connections to each overload device).

_____ Check all **distribution panels**. No openings authorized (dead front). Are all electrical panel boxes (switchboards, distribution panels) shielded to prevent touching lives wires? Are panel boxes provided with a directory or listing of all circuits they control?

_____ A rubber mat and a wooden railing to prevent electrical shock must be located in front and rear of the electrical switchboard.

_____ Storage **batteries** must be installed in lead lined or fiberglass trays to prevent damage by battery acid. Batteries must be secured in place to prevent shifting.

_____ Storage **battery boxes** must have fitted tops that protect them from short-circuiting by falling metallic objects.

_____ Storage batteries must be properly ventilated and have a minimum of 10" headroom.

_____ Check **battery emergency disconnect switches** are installed and operable.

_____ **Battery terminals** must be of the soldered lug type. No spring clips or temporary clamps are permitted.

_____ Check **battery charger and ammeter.** (If shore powered, must have an isolation transformer.)

_____ Test emergency means for stopping ventilating fans and air conditioning units.

_____ Check shore power connection, power disconnect, receptacle or box.

_____ Check for required portable flashlights; (1) at helm and (1) at engine room access. (46 CFR 183.430)

_____ Check accessories such as receptacles, outlets, switches, and sockets.

Deficiencies/corrective actions for section VII:

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VIII. VESSEL CONTROL AND MISCELLANEOUS SYSTEMS AND EQUIPMENT:

_____ Use 46 CFR Part 184 for guidance except as noted otherwise.

_____ Check cooking equipment:

_____ Liquefied petroleum gas (LPG) installation meets ABYC A-1

_____ Compressed natural gas (CNG) installation meets ABYC A-22
- _____ CNG containers not stored in accommodation area, machinery spaces, bilges or other enclosed spaces
- _____ CNG cylinders, regulating equipment and safety equipment meet installation, stowage and testing requirements of NFPA 302 (6-5.12)
- _____ Stoves not used or stowed with attached CNG cylinders as prohibited in NFPA 302 (6-5.1)

_____ LPG or CNG installation meets Chapter 6 of NFPA 302 (not required to meet 6-5.12.1.1(a) and 6-5.4)
- _____ LPG or CNG are odorized in accordance with ABYC A-1 and A-22
- _____ LPG cylinders are vapor withdrawal type and marked and mounted in accordance with ABYC A-1
- _____ CNG containers not stored in accommodation area, machinery spaces, bilge's or other enclosed spaces

_____ Remote shutoff valve installed between fuel tank and point where fuel supply line enters enclosed portion of vessel

Check cooking appliances:
- _____ Heavy duty hinges and locking devices on doors
- _____ Installed to prevent movement in heavy seas
- _____ Means to collect grease or fat and prevent spillage on wiring or deck
- _____ Grab rails installed where necessary
- _____ Sea rails with suitable barriers installed on cooking range
- _____ Electric connections drip proof

Check heating equipment:

_____ Heater constructed and installed to prevent contact with combustible material
_____ Electric space heater provided with thermal cutout to prevent overheating
_____ Each heater element of enclosed type and element case or jacket made of corrosion resistant material

Check ground tackle and mooring lines:

_____ Suitable anchor and attached anchor line in good condition, properly secured, and shackles moused
_____ Inspect anchor winch and windlass. Check electrical connections and test motor, brake, and controls for proper operation
_____ Offshore mooring in good condition and properly secured and moused
_____ Suitable number and size of mooring lines in good condition and properly spliced

Check Accommodations (Part 177):

_____ Inspect all handrails, lifelines, and bulwark safety chains for breaks, cracks, or looseness.
_____ Check ladders and stairs for broken, cracked, or loose rungs or stairs
_____ Means of escape (two for each space) clear of obstructions; doors/hatches operable from either side, emergency exits marked "EMERGENCY EXIT, KEEP CLEAR" in 2" letters.
_____ Perform sanitary inspection of accommodations, quarters, galleys, serving pantries, and toilet and washing spaces

Check watertight integrity (Part 179):

_____ Port lights have inside, hinged dead covers
_____ Inspect watertight doors and hatches for operable securing devices and adequate hinges and captive chains. Inspect gaskets for deteriorating rubber and paint (not allowed) and replace as necessary
_____ Freeing ports or scuppers clear of obstructions
_____ Cracked or broken window glass replaced in accordance with Part 177

Check running and standing rigging:

_____ Date of last survey:_____
_____ Check mast for corrosion, wood rot, stability and connection to mast step
_____ Check mast step for corrosion, wood rot or delamination around mount
_____ Check boom for corrosion or cracks
_____ Check stays for fraying and kinks
_____ Check chain plates for cracks, corrosion, wood rot or delamination around mounts
_____ Check pressed fittings for movement or looseness and pitting
_____ Check rigging screws for rust, wear and tightness
_____ Check condition and operation of all sails underway

Deficiencies/corrective actions for section VIII:

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Have any modifications been performed on the vessel since the last Coast Guard Inspection? If so, use the space below to describe **any** modifications.

_____

_____

_____

I have witnessed or examined all applicable items on this checklist and found them to be satisfactory and meeting the intent of the required regulations. Items that were found to be unsatisfactory and currently remain unsatisfactory have been addressed as well as deficient items that were corrected in the spaces provided at the end of each section.

Print name and title: _____

Signature and date: _____

U.S. Department of Transportation
United States Coast Guard

Commanding Officer
U. S. Coast Guard
MSO San Francisco Bay

Coast Guard Island, Bldg 14
Alameda, CA 94501-5100
Phone: (510) 437-3119
FAX: (510) 437-3114

16711/xxx-02

Gulfcoast Transit
2101 GATX Drive, Second Floor
Tampa, FL 33605

Dear XXXXXX:

The purpose of this letter is to report the **M/V SUNSET's** safety rating as a result of its annual inspection. On (date), your vessel's overall safety rating at the time of the inspection was determined to be **9.20**. As of (date) the average safety rating for small passenger vessels in the Officer-in-Charge, Marine Inspection (OCMI) San Francisco Bay area of responsibility (AOR) was **4.73** (lower numbers indicate a better safety rating). The purpose of this information is to give you an idea of where your vessel stands relative to other vessels and to provide you with identified areas for improvement. To assist you, I have provided your vessel's last inspection results, (see enclosures (1) and (2)).

The **M/V SUNSET** scored more than one standard deviation above the average safety rating for all small passenger vessels inspected as of (date) and is considered to be a greater risk than a large majority of small passenger vessels in the San Francisco OCMI AOR. Based on your vessel's safety rating, my staff will be conducting unannounced spot examinations of your vessel prior to its next annual inspection. I strongly urge you to make every effort to improve the safety of your vessel. My staff will work closely with you to make those improvements.

If you have any questions regarding this matter, please contact LCDR Christopher Robinson of my staff at the above number.

Sincerely,

S. J. BOYLE
Commander, U.S. Coast Guard
Chief, Inspections Department
By direction of the Officer-in-Charge,
Marine Inspection

Encl: (1) Safety Assessment Sheet for **M/V SUNSET**
(2) Crew Drill Factor

U.S. Department of Transportation
United States Coast Guard

Commanding Officer
U. S. Coast Guard
MSO San Francisco Bay

Coast Guard Island, Bldg 14
Alameda, CA 94501-5100
Phone: (510) 437-3119
FAX: (510) 437-3114

16711/xxx-02

Gulfcoast Transit
2101 GATX Drive, Second Floor
Tampa, FL 33605

Dear XXXXXXX:

The purpose of this letter is to report **M/V SUNRISE's** safety rating as a result of its annual inspection. On (date), your vessel's overall safety rating at the time of the inspection was determined to be **2.20**. As of (date) the average safety rating for small passenger vessels in the Officer-in-Charge, Marine Inspection (OCMI) San Francisco Bay area of responsibility (AOR) was **4.73** (lower numbers indicate a better safety rating). The purpose of this information is to give you an idea of where your vessel stands relative to other vessels and to provide you with potential areas for improvement.

The **M/V SUNRISE'S** scored more than one standard deviation below the average rating for all small passenger vessels inspected as of (date) and is considered to be a substantially lower risk than the majority of small passenger vessels in the San Francisco OCMI AOR. Congratulations to you and your staff for minimizing the risk to passengers, crew and the environment by maintaining your vessel in a satisfactory material condition and your crew in a highly trained state of readiness. The score you have received shows a strong commitment to regulatory compliance and passenger safety. I commend your efforts toward ensuring your vessel continually meets federal safety standards.

As a result of your vessel's excellent safety rating, you may participate in our Streamlined Re-Inspection Program. This will allow you to perform your vessel's annual re-inspection, using our Re-inspection Checklist, after which a Coast Guard marine inspector will perform a 30-minute safety audit of your vessel. Also, your vessel is a prime candidate for our voluntary 5 stars for safety positive incentive program. This program recognizes operators who voluntarily chose to exceed minimum safety standards. Please contact our office at the above number for more information on programs. You can also find more information on these programs on our internet website at http://cgweb.pacarea.uscg.mil/.

If you have any questions on other matters or require additional information, please contact LCDR Christopher Robinson of my staff at the above number.

Sincerely,

S. J. BOYLE
Commander, U.S. Coast Guard
Chief, Inspections Department
By direction of the Officer-in-Charge,
Marine Inspection